

1793

PTO/SB/21 (04-07)  
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## TRANSMITTAL FORM

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Total Number of Pages in This Submission

14

Application Number

10/588,413

Filing Date

July 31, 2006

First Named Inventor

A. Johnson

Art Unit

1793

Examiner Name

YANG, JIE

Attorney Docket Number

10265-722.201

### ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
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<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Shay Glenn LLP		
Signature			
Printed name	Richard Shoop		
Date	12.11.07	Reg. No.	45,763

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

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Typed or printed name	Angelica Zuniga	Date	12/12/07

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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12/12/07 *A. Zuniga*  
Date Angelica Zuniga



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No.: 10/588,413 Confirmation No.: 8343  
Applicant(s): A. Johnson  
Filed: July 31, 2006  
Art Unit: 1793  
Examiner: YANG, JIE  
Title: SINGLE CRYSTAL SHAPE MEMORY ALLOY DEVICES AND METHODS  
Customer No.: 66854

**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

INFORMATION DISCLOSURE STATEMENT UNDER  
37 CFR § 1.97 & § 1.98

Sir:

In accordance with 37 CFR § 1.97-1.98, applicants hereby submit an Information Disclosure Statement, including attached forms(s) PTO/SB/08. A copy of each reference is being submitted herewith, along with a concise explanation in English for those publications in a foreign language.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. Applicants further request that the Examiner initial and return a copy of the attached form(s) PTO/SB/08 in accordance with MPEP §609.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and /or to prove that this information may not be enabling for the teachings purportedly offered.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, prior art or material to patentability as defined in 37 CFR §1.56.

**FILING OF INFORMATION DISCLOSURE STATEMENT****37 CFR §1.97(b)**

This statement is being submitted under 37 CFR §1.97(b) because the IDS is being filed:

- ☐ 1). Within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d), or
- ☐ 2). Within 3 months of entry of a national stage as set forth in § 1.491, or
- ☒ 3). Before the mail date of a first Office Action on the merits, or
- ☐ 4). Before the mailing of a first Office Action after filing a request for continued examination under § 1.114.

**37 CFR § 1.97(c)**

This statement is being filed after the latest of:

- ☐ 1). Three months beyond the filing date of a national application, or
- ☐ 2). Three months beyond the date of entry of the national stage as set forth in § 1.491 in an international application, or
- ☐ 3). The mailing date of a first Office Action on the merits, but before the mailing date of the earlier of a final Office Action under § 1.113 or a Notice of Allowance under § 1.311, and then either:
  - ☐ A). A fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement. or
  - ☐ B). A certification as specified in § 1.97(e) is provided below; thus no fee is required.

**37 CFR § 1.97(d)**

This statement is being filed after the mailing date of a Final Office action, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution, but on or before payment of the issue fee, and then:

A). A fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or payment is included with other papers filed together with this statement

--AND--

B). A certification as specified in § 1.97(e) is included below.

**CONTENT OF INFORMATION DISCLOSURE STATEMENT UNDER****37 CFR § 1.98****37 CFR §1.98 (a)(2)(ii), U.S. patents or patent application publication(s) cited**

- ☒ 1). Since not requested by the Office, U.S. patents and U.S. patent application publications are not included.
- ☐ 2). At the request of the Office, a copy of the following U.S. patent or patent application publication is attached:

**37 CFR §1.98 (a)(2)(iii) and (d), Pending unpublished U.S. applications cited**

- ☐ 1). A copy of each application specification including the claim(s)s, and any drawing, or that portion of the application that caused it to be listed, is attached.
- ☐ 2). A copy of each application specification is not submitted because the specification was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:
- ☒ 3). A copy of each application specification is not submitted because the application is stored in the IFW.

**37 CFR §1.98 (a)(2)(iii) and (d), English language publication (other than U.S. patents, patent applications, or pending unpublished applications) cited**

- ☒ 1). A legible copy of each publication or that portion which caused it to be listed is attached.
- ☐ 2). A copy of each publication or that portion which caused it to be listed is not submitted because the publication was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:

- ☒ 37 CFR §1.98 (a)(2)(i) and (d), Foreign patent(s) in English cited
- ☒ 1). A legible copy of each foreign patent or that portion which caused it to be listed is attached.
- ☐ 2). A copy of each foreign patent is not submitted because the publication was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:
- ☒ 37 CFR §1.98 (a)(2)(i), (a)(3)(i-ii) and MPEP 609(B), Foreign patent(s) or other foreign documents not in English cited. Either:
- ☒ 1). A legible copy of each foreign patent, each publication or that portion which caused it to be listed, is attached --AND--
- ☐ 2a). A concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56 (c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language is provided herewith:
- OR--
- ☒ 2b). A copy of a written, English-language translation or portion thereof is readily available and attached for JP07090624, JP10173306, SU1434314, and WO 2003/052150.
- OR--
- ☐ 2c). An English language copy of a foreign search report is submitted.
- OR--
- ☐ 3). A copy of each foreign patent is not submitted because the publication was previously submitted in the IDS of the following, earlier filed application relied on for an earlier effective filing date:


**STATEMENT UNDER 37 CFR § 1.97(e)**

- ☐ Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.
- ☐ No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

**FEE AUTHORIZATION**

- ☒ The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-4050.

Respectfully Submitted,

By:   
Richard Shoop Reg. # 45763

Dated: 12.11.07

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